



Carnegie Mellon
Software Engineering Institute

Pittsburgh, PA 15213-3890



A Family of SCAMPISM Appraisal Methods

Will Hayes
Gene Miluk
Dave Kitson

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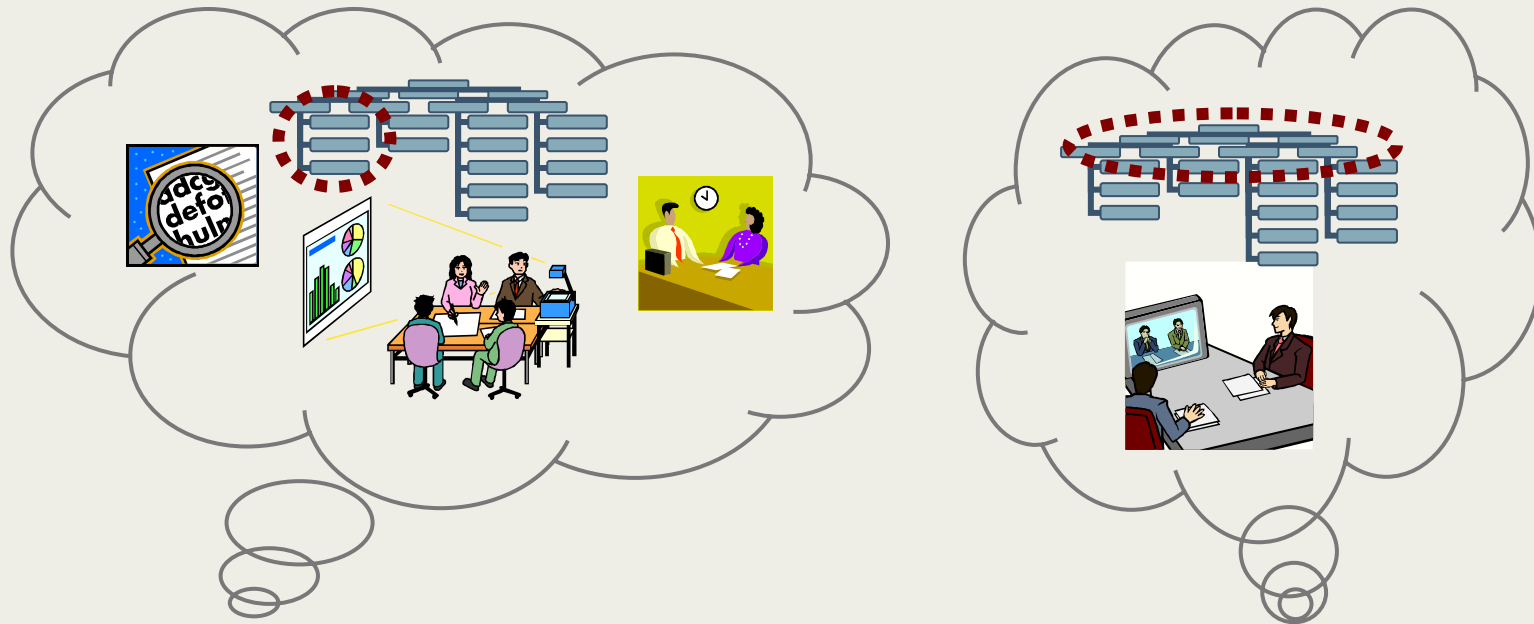
Report Documentation Page				Form Approved OMB No. 0704-0188	
Public reporting burden for the collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Washington Headquarters Services, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington VA 22202-4302. Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to a penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number.					
1. REPORT DATE JAN 2003		2. REPORT TYPE		3. DATES COVERED 00-00-2003 to 00-00-2003	
4. TITLE AND SUBTITLE A Family of SCAMPIsm Appraisal Methods				5a. CONTRACT NUMBER	
				5b. GRANT NUMBER	
				5c. PROGRAM ELEMENT NUMBER	
6. AUTHOR(S)				5d. PROJECT NUMBER	
				5e. TASK NUMBER	
				5f. WORK UNIT NUMBER	
7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES) Carnegie Mellon University,Software Engineering Institute,Pittsburgh,PA,15213				8. PERFORMING ORGANIZATION REPORT NUMBER	
9. SPONSORING/MONITORING AGENCY NAME(S) AND ADDRESS(ES)				10. SPONSOR/MONITOR'S ACRONYM(S)	
				11. SPONSOR/MONITOR'S REPORT NUMBER(S)	
12. DISTRIBUTION/AVAILABILITY STATEMENT Approved for public release; distribution unlimited					
13. SUPPLEMENTARY NOTES					
14. ABSTRACT					
15. SUBJECT TERMS					
16. SECURITY CLASSIFICATION OF:			17. LIMITATION OF ABSTRACT Same as Report (SAR)	18. NUMBER OF PAGES 26	19a. NAME OF RESPONSIBLE PERSON
a. REPORT unclassified	b. ABSTRACT unclassified	c. THIS PAGE unclassified			



Three Classes of Appraisals

Characteristic	Class C	Class B	Class A
Amount of objective evidence	Low	Medium	High
Ratings generated	No	No	Yes
Resource needs	Low	Medium	High
Team Size	Small	Medium	Large

Are We Talking About the Same Thing?



“Mini Assessment”



The SEI SCAMPISM B&C Project

Develop, Field Test, and Deploy an integrated suite of appraisal methods that are:

- Developed iteratively with extensive field tests
- Based on requirements from users
- Integrated and upwardly compatible
- Well specified and documented



Presentation Outline

Examples of Appraisal Types

Motivation and Purpose of Appraisals

Data Collection Techniques Used

Three Areas of Specification



Getting-Started Intervention

Purpose: Provide information to an organization learning about CMMISM.

Description: Expert-directed, presentation & discussion-intensive, broad scope, shallow coverage method that emphasizes participation of affected groups in facilitated sessions - with no focus on sufficiency of coverage.

Rough Effort Estimate: One to two experts on site for 1 to 5 days. Planning and coordination effort driven by appraisal scope.



Mini Appraisal

Purpose: An abbreviated version of a benchmarking appraisal used for experience and non-rating related outputs.

Description: Team-based, data intensive, narrow scope, deep coverage method that emphasizes the use of Objective Evidence and interviews - with reduced focus on data sufficiency.

Rough Effort Estimate: One expert on site for 3 to 5 days. Planning and coordination effort driven by appraisal scope, and experience level of local team members.



Gap Analysis

Purpose: Identify specific deficiencies in implemented practices relative to practices which would support achievement of the goals - for a specified scope.

Description: Expert-based, interview-intensive, broad scope, shallow coverage method that emphasizes identification of weaknesses - with more limited focus on sufficiency of coverage.

Rough Effort Estimate: One to two experts on site for 1 to 3 days. Planning and coordination effort driven by appraisal scope.



Improvement Monitoring

Purpose: Track implementation of process improvement actions in an organizational unit that has previously undergone a benchmarking appraisal.

Description: Expert-based, interview & document-intensive, narrow scope, deep coverage method that emphasizes identifying status of changes in processes - with more limited focus on sufficiency of coverage.

Rough Effort Estimate: One to two experts on site for 1 to 3 days. Planning and coordination effort driven by scope and outcomes of previous appraisal(s).



Delta Appraisal

Purpose: Confirm corrective actions resulting from a benchmarking appraisal.

Description: Expert-based, interview & document-intensive, very narrow scope, deep coverage method that emphasizes confirming specific changes in processes - with limited focus on sufficiency of coverage for the model.

Rough Effort Estimate: One to two experts on site for 1 or 2 days. Planning and coordination effort driven by the nature and magnitude of weaknesses identified in the benchmarking appraisal.



Incremental Appraisal

Purpose: Building a profile of results across a broad model and/or organizational scope.

Description: Expert-directed or team-based, data intensive, narrow scope, deep coverage method that emphasizes use of objective evidence - with strong focus on sufficiency of coverage (in narrow increments).

Rough Effort Estimate: Appraisal events distributed over time. One expert on site for 3 to 8 days. Planning and coordination effort driven by appraisal scope, and experience level of team members.



Benchmarking Appraisal

Purpose: Document a frequently sought, high level, benchmark for an organizational unit.

Description: Expert-directed and team-based, data intensive, broad scope, deep coverage method that emphasizes use of objective evidence - with strong focus on sufficiency of coverage.

Rough Effort Estimate: One expert on site for 5 to 15 days. Planning and coordination effort driven by appraisal scope, organizational maturity, and experience level of team members.



Presentation Outline

Examples of Appraisal Types

Motivation and Purpose of Appraisals

Data Collection Techniques Used

Three Areas of Specification



Motivation for Appraisal

Technical Analysis

- Evaluating detailed practices
- Rigorous data collection
- Carefully defined scope
- Potential external visibility



Organizational Intervention

- Assessing culture for change
- Building local championship
- Preparing for improvement
- Finding the stimulus for change



Purpose of Appraisal -1



Formulating Our
Winning Strategy



Fixing Immediate
Problems



Exploring Goals for
Improvement &
Training Staff



Purpose of Appraisal -2



Motivating Supplier
Best Practices



Evaluating and
Monitoring Risk



Fact-Based
Management



Presentation Outline

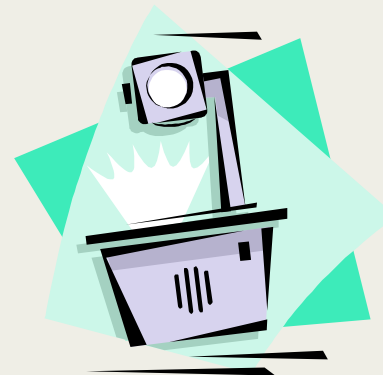
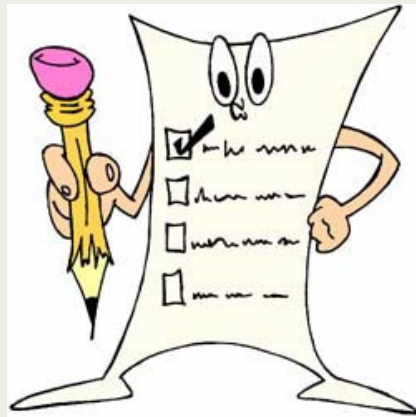
Examples of Appraisal Types

Motivation and Purpose of Appraisals

Data Collection Techniques Used

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Traditional Data Collection Techniques





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Evolution of Data Collection





Presentation Outline

Examples of Appraisal Types

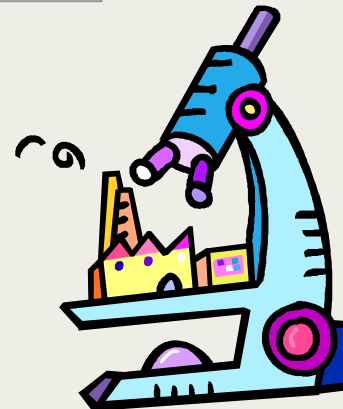
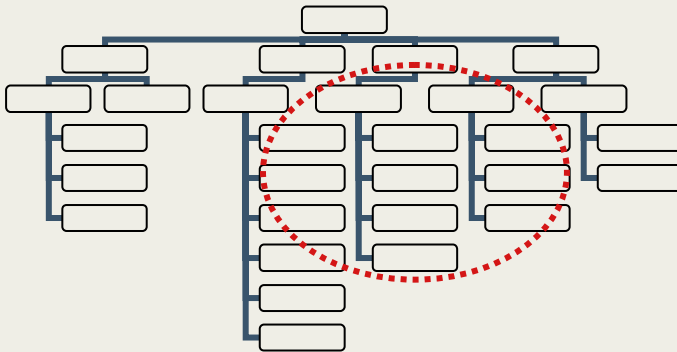
Motivation and Purpose of Appraisals

Data Collection Techniques Used

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Requirements Based Tailoring

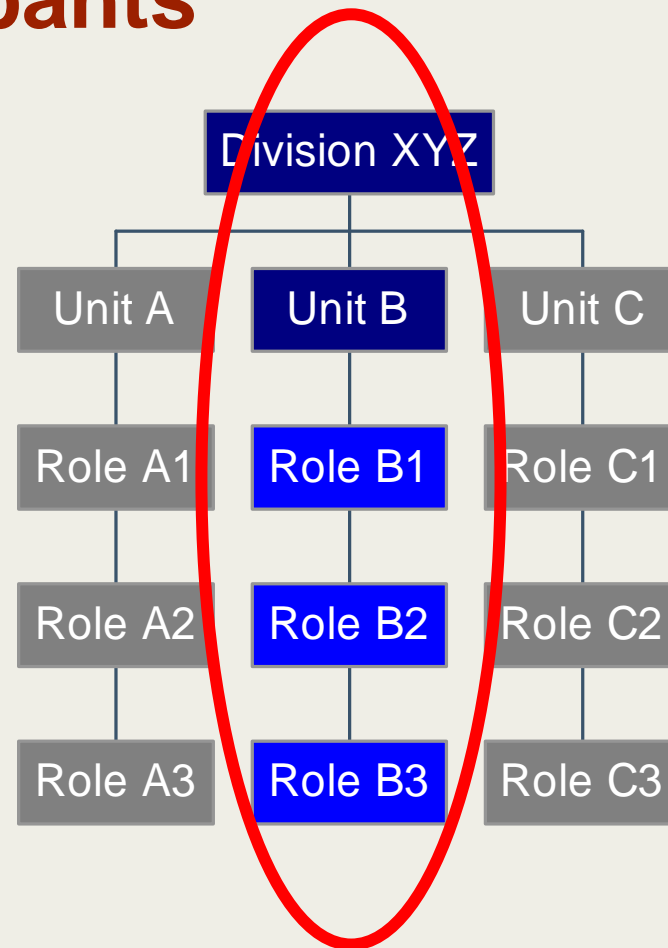




Sampling Participants

Choosing who to involve in specific data collection activities requires one to make sampling decisions.

Preserving a coherent scope for the appraisal requires specification of meaningful sampling criteria.





Sampling: Broad Scope, Shallow Coverage

Take advantage of low cost data collection methods

- achieve broader coverage of the organization
 - include all projects, not just 4 for benchmarking
- address a larger portion of the model
 - match information sources to information needs

Limitations of low cost data collection methods

- very limited opportunity to explain nuances
 - yes/no questions in interviews don't pay off
- difficult to assure validity of data
 - ambiguous questionnaire items don't help



Sampling: Narrow Scope, Deep Coverage

Maximize insight with a small sample of the organization

- detailed insight about a selected unit in the organization
 - potentially include every staff member
- full coverage of limited model material
 - minimal risk of undiscovered weaknesses

Limitations of using a small sample

- limited ability to make generalizations
 - process of one stellar project may be misleading
- limited coverage of the lifecycle in use
 - implementation of future phases may differ from intended practices



Summarizing and Presenting Results

Statements of strengths and/or weaknesses are most common.

Characterizations of differences in practice implementation

- across model content
- across the organization

Profiles of detailed data, or prioritized lists of statements are also common.





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The SCAMPISM B&C Project

SEI working with appraisal stakeholders:

- prototyping and field trials with collaborator organizations
- communication with stakeholders about the project
- periodic dissemination of draft material for review
- publication/presentation of project results

Points of Contact

Will Hayes wh@sei.cmu.edu

Gene Miluk gem@sei.cmu.edu